



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|--------------------------|-----------------------|------------------------|
| 09/846,054 | 05/01/2001 04/30/2001 | John R. Gustafson | K35A0459 |

CONFIRMATION NO. 4487

FORMALITIES LETTER



OC000000006217100

WON TAE C. KIM, ESQ.
WESTERN DIGITAL TECHNOLOGIES
20511 LAKE FOREST DRIVE
INTELLECTUAL PROPERTY DEPT C2
LAKE FOREST, CA 92630-7741

Date Mailed: 06/22/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/19/2001 BABRAHA1 00000034 231209 09846054

02 FC:105

130.00 CH



Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | |
|---|----------------------|------------------------|----------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | Application Number | 09/846,054 | |
| | Filing Date | 4/30/2001 | |
| | First Named Inventor | JOHN R. GUSTAFSON | |
| | Group Art Unit | 2652 | |
| | Examiner Name | UNKNOWN | |
| Total Number of Pages in This Submission | 17 | Attorney Docket Number | K35A0459 |

| ENCLOSURES (check all that apply) | | |
|--|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Request for Correction of Title/Filing Date Copy of filing receipt and express mail bill Declaration for Utility Application Recordation Form Cover Sheet Power of Attorney Postcard |
| Remarks | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|---|
| Firm or Individual name | WESTERN DIGITAL TECHNOLOGIES - Won Tae C. Kim, 40,457 |
| Signature | W. Chm / |
| Date | 9/10/01 |

| CERTIFICATE OF MAILING | | |
|---|----------------|--------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 09/10/2001 | | |
| Typed or printed name | Adriana Varela | |
| Signature | | Date 9/10/01 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/17 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 255.00

Complete if Known

| | |
|----------------------|------------------|
| Application Number | 09/846,054 |
| Filing Date | 4/30/2001 |
| First Named Inventor | JOHN F. GUSTAFON |
| Examiner Name | UNKNOWN |
| Group Art Unit | 2652 |
| Attorney Docket No. | K35A0459 |

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 23-1209
Deposit Account Name: WESTERN DIGITAL CORPORATION

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 710 | 201 355 | Utility filing fee | |
| 106 320 | 206 160 | Design filing fee | |
| 107 490 | 207 245 | Plant filing fee | |
| 108 710 | 208 355 | Reissue filing fee | |
| 114 150 | 214 75 | Provisional filing fee | |

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims: -20** = X =
Independent Claims: - 3** = X =
Multiple Dependent: =

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description |
|----------------------------|----------------------------|--|
| 103 18 | 203 9 | Claims in excess of 20 |
| 102 80 | 202 40 | Independent claims in excess of 3 |
| 104 270 | 204 135 | Multiple dependent claim, if not paid |
| 109 80 | 209 40 | ** Reissue independent claims over original patent |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | 105.00 |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 130 | 139 130 | Non-English specification | |
| 147 2,520 | 147 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | 110.00 |
| 115 110 | 215 55 | Extension for reply within first month | |
| 116 390 | 216 195 | Extension for reply within second month | |
| 117 890 | 217 445 | Extension for reply within third month | |
| 118 1,390 | 218 695 | Extension for reply within fourth month | |
| 128 1,890 | 228 945 | Extension for reply within fifth month | |
| 119 310 | 219 155 | Notice of Appeal | |
| 120 310 | 220 155 | Filing a brief in support of an appeal | |
| 121 270 | 221 135 | Request for oral hearing | |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | |
| 140 110 | 240 55 | Petition to revive - unavoidable | |
| 141 1,240 | 241 620 | Petition to revive - unintentional | |
| 142 1,240 | 242 620 | Utility issue fee (or reissue) | |
| 143 440 | 243 220 | Design issue fee | |
| 144 600 | 244 300 | Plant issue fee | |
| 122 130 | 122 130 | Petitions to the Commissioner | |
| 123 50 | 123 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 180 | 126 180 | Submission of Information Disclosure Stmt | |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | 40.00 |
| 146 710 | 246 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 710 | 249 355 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 710 | 279 355 | Request for Continued Examination (RCE) | |
| 169 900 | 169 900 | Request for expedited examination of a design application | |

Other fee (specify) _____
SUBTOTAL (3) (\$) 255.00

*Reduced by Basic Filing Fee Paid

Complete (if applicable)

| | | |
|-----------------------------------|------------------|--------------|
| SUBMITTED BY | Registration No. | Telephone |
| Name (Print/Type): Won Tae C. Kim | 40,457 | 949-672-7813 |
| Signature: W. Chae | Date: 9/10/01 | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PATENT
Docket No. K35A0459

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: John R. Gustafson

Group No. 2652

Serial No.: 09/846,054

Examiner: Unknown

Filed: 04/30/2001

For: SHOCK ISOLATION BEARINGS AND TRAVEL LIMIT GAPS IN A
SPINDLE MOTOR AND DISK DRIVE USING THE SAME

Honorable Assistant Commissioner for Patents
Washington, D.C. 20231

RECEIVED
OCT 23 2001

OFFICE OF PETITIONS

Sir:

REQUEST FOR CORRECTION OF TITLE AND FILING DATE

Applicants Attorney hereby requests that a correction be made in the Title of Invention and Filing Date for the above-referenced patent application due to a typographical error which was discovered in the Filing Receipt dated June 22, 2001. **The filing date should be April 30, 2001.** The Title of Invention should read as follows:

**SHOCK ISOLATION BEARINGS AND TRAVEL LIMIT GAPS IN A SPINDLE
MOTOR AND DISK DRIVE USING THE SAME**

Attached is a copy of the document with the edit correction noted, and a copy of the Express Mail receipt showing the application was deposited with the U.S. Post Office on April 30, 2001.

The Examiner is respectfully requested to make the above-requested correction in connection with the above-referenced patent application.

Respectfully submitted,

W. Chin

9/10/01

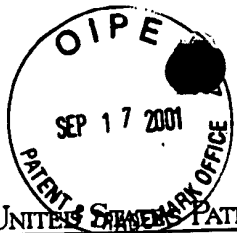
WESTERN DIGITAL CORPORATION
Intellectual Property Department - C2
20511 Lake Forest Drive
Lake Forest, CA 92630
Telephone: (949) 672-7813

By: Won Tae C. Kim, Esq.
Attorney for Applicants
Registration No. 40,457

Date

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Hon. Assistant Commissioner for Patents, Washington D.C. 20231 on 09-10-2001.

Adriana Varela
Adriana Varela, Patent Paralegal



UNITED STATES PATENT AND TRADEMARK OFFICE

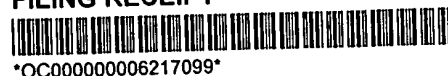
COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO. | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|------------------|----------|------------|------------|
| 09/846,054 ✓ | 05/01/2001 | 2652 | 1556 | K35A0459 | 8 ✓ | 67 | 3 |

04/30/2001

CONFIRMATION NO. 4487

FILING RECEIPT



OC000000006217099

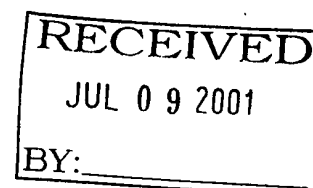
WON TAE C. KIM, ESQ.
WESTERN DIGITAL TECHNOLOGIES
20511 LAKE FOREST DRIVE
INTELLECTUAL PROPERTY DEPT C2
LAKE FOREST, CA 92630-7741

Date Mailed: 06/22/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

John R. Gustafson, Los Gatos, CA;
Nils E. Larson, San Jose, CA;
Mats A. Engwall, San Juan Bautista, CA;



Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 06/22/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

SHOCK
(Shok)

isolation bearings and travel limit gaps in a spindle motor and disk drive using the same

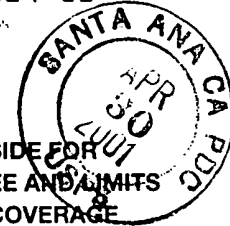
Preliminary Class



POST OFFICE TO ADDRESSEE



EL 763518484 US



SEE REVERSE SIDE FOR
SERVICE GUARANTEE AND LIMITS
ON INSURANCE COVERAGE

Customer Copy
Label 11-F August 2000

| ORIGIN (POSTAL USE ONLY) | | |
|--|---|--|
| PO ZIP Code 97799 | Day of Delivery <input checked="" type="checkbox"/> Next <input type="checkbox"/> Second | Flat Rate Envelope <input type="checkbox"/> |
| Date in Mo. 4 Day 30 | <input type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM | Postage \$ |
| Time in AM 2056 PM | Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day | Return Receipt Fee |
| Weight lbs. 17 ozs. | Int'l Alpha Country Code | COD Fee Insurance Fee |
| No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday | Acceptance Clerk Initials V/L | Total Postage & Fees \$ 16.00 |

☐ **WAIVER OF SIGNATURE (Domestic Only):** Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery.

NO DELIVERY ☐ Weekend ☐ Holiday Customer Signature

| CUSTOMER USE ONLY | |
|--|---|
| METHOD OF PAYMENT: Express Mail Corporate Acct. No. x927022 | Federal Agency Acct. No. or Postal Service Acct. No. |
| FROM: (PLEASE PRINT) WESTERN DIGITAL CORPORATION DOCKETING PARALEGAL -C204A 20511 LAKE FOREST DR LAKE FOREST CA 92630-7741 K35A0459 | TO: (PLEASE PRINT) ATTN: BOX PATENT APPLICATION ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON DC 20231-0001 |

FOR PICKUP OR TRACKING CALL 1-800-222-1811 www.usps.com

